



3662 #4  
06/16/03

PATENT  
Attorney Docket No.: FIVER-00104

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: ) Group Art Unit: 3662  
Weiti Wu, et al. )  
Serial No.: 10/015,736 ) Examiner:  
Filed: December 12, 2001 )  
For: **ALL FIBER GAIN FLATTENING**  
**OPTICAL FILTER** ) **TRANSMITTAL LETTER**  
 ) 162 N. Wolfe Road  
 ) Sunnyvale, CA 94086  
 ) (408) 530-9700

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, a Certification pursuant to 37 C.F.R. § 1.97(e) for the Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: April 18, 2003

By: Jonathan O. Owens  
Jonathan O. Owens  
Reg. No.: 37,902

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

HAVERSTOCK & OWENS LLP.

Date: 4-16-03 By: John D. Larson

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Attorney Docket No.: FIVER-00104

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Weiti Wu, *et al.*

Serial No.: 10/015,736

Filed: December 12, 2001

For: **ALL FIBER GAIN FLATTENING  
OPTICAL FILTER**

) Group Art Unit: 3662  
) Examiner:  
) **CERTIFICATION FOR  
SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER 37  
CFR § 1.97(e)**  
) 162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This certification is being made for the Supplemental Information Disclosure Statement accompanying this certification.

**Certification**

I, the person signing below, hereby certify that the printed publications contained in the enclosed supplemental information disclosure statement were cited within an Official Action mailed on April 11, 2003. **Accordingly, I hereby certify that no reference contained within this supplemental information disclosure statement was cited in a communication from a foreign patent office in a related foreign application, and, to the knowledge of the person signing the statement, after making reasonable inquiry, no reference contained within this supplemental information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this supplemental information disclosure statement. 37 C.F.R. 1.97(e)(2).**

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PATENT  
Attorney Docket No.: FIVER-00104

**Identification of Person Making Certification**

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: April 18, 2003

By: Jonathan O. Owens  
Jonathan O. Owens  
Reg. No.: 37,902

Attorneys for Applicants

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- 2 -

HAVERSTOCK & OWENS LLP.

Date: 4-18-03 By: Jonathan O. Owens



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Attorney Docket No.: FIVER-00104

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: ) Group Art Unit: 3662  
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Serial No.: 10/015,736 ) **SUPPLEMENTAL INFORMATION**  
Filed: December 12, 2001 ) **DISCLOSURE STATEMENT**  
For: **ALL FIBER GAIN FLATTENING**  
**OPTICAL FILTER** )  
\_\_\_\_\_  
162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

Applicants have become aware of the following printed publications which may be material to the examination of this application:

- U.S. Patent No. 6,038,359;
  - U.S. Patent No. 6,118,575; and
  - U.S. Patent No. 6,188,812 B1.

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PATENT  
Attorney Docket No.: FIVER-00104

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: April 18, 2003

By: Jonathan O. Owens  
Jonathan O. Owens  
Reg. No.: 37,902

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

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.HAVERSTOCK & OWENS LLP.

Note: 4-18-03 By: Jean S. Ruscon

FORM PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No.: FIVER-00104	Serial No.: 10/015,736		
INFORMATION Disclosure Statement by Applicant (Use Several Sheets If Necessary)  (37 CFR § 1.98(b))				Applicant: Weiti Wu <i>et al.</i>			
				Filing Date: December 12, 2001	Group Art Unit: 3662		
U.S. PATENT DOCUMENTS							
Examiner Initials		Serial / Patent Number	Issue Date	Applicant / Patente	Class	Subclass	Filing Date
	AA	6,038,359	03/14/00	Moslehi	385	42	06/04/98
	AB	6,118,575	09/12/00	Grubb et al.	359	337	04/05/99
	AC	6,188,812 B1	02/13/01	Kao et al.	385	12	01/28/99
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	BD						
	BE						
	BF						
	BG						
	BH						
Examiner:				Date Considered:			
EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

